

**GOVERNOR'S OFFICE OF CRIMINAL JUSTICE PLANNING (OCJP)
VICTIM WITNESS BRANCH**

**ELDER ABUSE ADVOCACY AND OUTREACH PROGRAM (EAAOP)
COMPETITIVE REQUEST FOR PROPOSALS (RFP)**

PART II - GENERAL INSTRUCTIONS

This Request for Proposals (RFP) pertains to applications for Fiscal Year (FY) 2000/2001. The terms and conditions described in this RFP supersede all previous RFPs and any conflicting provisions stated in the OCJP Grantee Handbook. **If the Programmatic Instructions for the proposal conflict with the General Instructions, the Programmatic Instructions prevail.**

This RFP contains all of the instructions and forms necessary to submit a proposal. The applicant will not need separate program guidelines or the OCJP Grantee Handbook in order to prepare a proposal. The OCJP Grantee Handbook will only be sent to agencies which have been selected for funding.

A. STRUCTURE OF THIS RFP

This RFP has been printed in a way that will allow the user to take the document apart and reproduce any necessary pages. OCJP authorizes reproduction of this document in part or in whole. The document is comprised of four main sections.

- **PART I - INFORMATION ON THE RFP PROCESS:** This section provides information concerning the process by which an applicant submits a proposal, the process OCJP uses to select proposals, and the administrative requirements of successful applicants once selected for funding.
- **PART II - GENERAL INSTRUCTIONS:** This section provides general instructions for the preparation of a proposal.
- **PART III - PROGRAMMATIC INSTRUCTIONS:** This section provides specific instructions pertaining to the program.
- **PART IV - PROPOSAL FORMS:** This section contains all the forms needed to complete the proposal and corresponds with both the general and programmatic instructions. A clean set of these forms should be maintained for use as master copies. Precious time may be lost contacting OCJP to request additional blank copies of forms.

In order to prepare a proposal, an applicant must comply with all of the instructions in **both** the General Instructions and the Programmatic Instructions. We recommend that the applicant agency **maintain a clean copy** of each of the sections of this RFP for future reference.

B. PREPARING A PROPOSAL

When completed, a proposal should be comprised of the following five components:

- Grant Award Face Sheet (OCJP A301)
- Preference Points Certification Form
- Project Narrative
- Budget Narrative and Project Budget (OCJP A303a-c)
- Proposal Appendix

NOTE: Failure to include all of the required components may result in a reduced score or disqualification. OCJP will not advise applicants that their proposal is incomplete prior to rating or disqualification.

The instructions in this section correspond to each of the proposal components. These instructions also correspond to the forms provided in Part IV, which apply to the same five proposal components.

Applicants should use the forms provided or computer-generated forms, and plain white paper for the project narrative sections. If computer-generated forms are used, they must duplicate the OCJP forms and must not allow the applicant more space than that provided on the OCJP forms. Applicants should ensure that information requested by the RFP instructions is included in the appropriate section of the proposal in order to receive credit during the rating process. The Programmatic Instructions may specify a space limitation. If a space limitation is specified, strict adherence to the space limitation is required. Information submitted in excess of the space limitation **will not be read or rated**.

Proposals should be typed or computer-generated. Typed or computer-generated characters should be no smaller than the equivalent of standard 12 pitch print. **Applicants are encouraged to double space proposals.** Page size should not exceed standard 8 1/2 x 11 inch paper.

Copies of the proposal should be assembled separately and individually fastened in the upper left corner. **DO NOT BIND PROPOSALS.**

C. SUBMITTING A PROPOSAL

In order to submit a proposal, applicants must deliver the proposal to OCJP by the deadline, **or mail the proposal postmarked by the deadline.**

- **Deliver the proposal to OCJP:** Applicants should submit one original and three copies of the proposal. Applicants must mail or hand deliver proposals to:

Governor's Office of Criminal Justice Planning
1130 K Street, Suite LL60
Sacramento, California 95814
Attn: Victim Witness Branch

Please note the following:

1130 K Street is located at the southwest corner of the intersection of 12th and K Streets. A Bank of America is located on the first floor of this building. Please note that K Street is a pedestrian mall.

Indoor parking structures are located on the east side of 12th Street between K and L Streets (connected to the Hyatt Regency Hotel), and on 10th Street between K and L Streets. Street parking is limited and requires quarters for parking meters.

Once you enter the building at 1130 K Street, take the elevator to the Lower Level and deliver the proposal to LL60 (the Business Management Branch). The proposal will be date stamped and you may request a receipt.

- **By the deadline:** The deadline for submission is specified in the Programmatic Instructions. **Proposals not meeting the deadline will not be considered for funding.** All proposals will be date and time stamped upon receipt at OCJP. It is the responsibility of the applicant to ensure that the proposal meets the specified deadline. **Submissions with a postmark mailed on or before the due date will be accepted as meeting this deadline.** However, OCJP will not be responsible for the performance of the carrier used by the applicant. Lost or delayed mail could result in the proposal not being considered for funding. OCJP will not accept electronic facsimiles (fax) of the proposal. Materials submitted after the deadline will not be considered during the rating process. OCJP will not notify applicants regarding omissions or accept any late additions to a proposal.

D. GRANT AWARD FACE SHEET (OCJP A301)

1. **Administrative Agency:** Enter the complete name of the unit of government that is applying for funding (e.g., Alameda County, City of Fresno), also referred to as the "grantee."
2. **Implementing Agency:** Enter the complete name of the agency responsible for the day-to-day operation of the grant (e.g., Sheriff, Police Department), and the contact person's name, address, and phone number.
3. **Project Title:** Enter the complete title of the project. Do not use acronyms. Do not exceed 60 characters, including spaces and punctuation.
4. **Project Director:** Enter the name, title, mailing address, and telephone number of the individual ultimately responsible for the project. This information must be limited to four lines.
5. **Financial Officer:** Enter the name, title, mailing address, and telephone number of the person who will be responsible for all fiscal matters relating to the project. This person must be someone other than the project director. The check for this project will be mailed to the address shown for the financial officer. This information must be limited to four lines.

6. **Award Number:** Leave blank (to be completed by OCJP).
7. **Grant Period:** Enter beginning and ending dates of funding as specified in the grant application instructions.
8. **Federal Amount:** If applicable, enter the amount of federal funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
9. **State Amount:** Enter the amount of state funds requested for the project. Refer to Funding Chart in Part II to determine the maximum amount of funds allowable within your category.
10. **Cash Match:** If applicable, enter the amount of cash match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
11. **In-Kind Match:** If applicable, enter the amount of in-kind match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
12. **Total Project Cost:** Enter the sum of items 8, 9, 10, and 11. The amount must be consistent with the proposed budget.
13. **Official Authorized to Sign for Applicant/Grantee:** Enter the signature, name, title, address, and telephone number of the official authorized to enter into the Grant Award Agreement for the city/county or community-based organization (CBO), as stated in the language between items 12 and 13 of the Grant Award Face Sheet (OCJP A301). **Provide an original signature of the authorized official in blue ink.**

E. PREFERENCE POINTS CERTIFICATION FORM

California Government Code Section 7082 requires OCJP to give preference to applicants from areas in the state designated as Enterprise Zones. These are areas that have been identified to receive state contract preference points due to high unemployment, lower incomes, and population density. The goal of the Enterprise Zone program is to stimulate growth in economically distressed areas. Five percent of the total possible points awarded will be added to the proposal for applicants that specifically target a designated zone for services. Two percent will be added to the proposal for applicants whose service area includes an Enterprise Zone, but who do not specifically target the area for services.

A list of Enterprise Zones, addresses, and telephone numbers of contacts is presented below. Applicants eligible for preference points must provide certification of eligibility by the appropriate agency. Self-certification is not allowed. A certification form is provided in this RFP. **Preference points do not apply to statewide projects.**

ENTERPRISE ZONE CONTACTS

(Updated June 17, 1999)

California Trade & Commerce Agency

**(916) 322-3432
FAX 322-7214**

**Enterprise Zone Program
801 K Street, Suite 1700
Sacramento, CA 95814**

COMMUNITY

PHONE

ADDRESS

AGUA MANSA

Riverside County

(909) 955-1151
Fax 275-6686

Riverside County Econ. Dev. Agency
3525 14th Street
Riverside, CA 92501
eda1.cbutter@co.riverside.ca.us

San Bernardino County

(909) 388-0832
Fax 388-0844

Dept. of Community & Econ. Dev.
290 North D Street, 6th Floor
San Bernardino, CA 92415-0040
dfrye@ecd.san-bernardino.ca.us

City of Riverside

(909) 782-5519
Fax 782-2543

City Manager's Office
3900 Main Street, 7th Floor
Riverside, CA 92522
hfields@ci.riverside.ca.us

City of Colton

(909) 370-5167
Fax 783-2656

Redevelopment Agency
552 N. LaCadena Drive
Colton, CA 92324
rdacolton@aol.com

City of Rialto

(909) 820-2686
Fax 820-2683

Dept. of Economic Redevelopment
150 South Palm Avenue
Rialto, CA 92376
david@ci.rialto.ca.us

ALTADENA/PASADENA

Pasadena

(626) 744-4660
Fax 744-4773

100 North Garfield, Ste. 222
Pasadena, CA 91109
jamador@ci.pasadena.ca.us

Altadena

(323) 890-7198
(323) 890-8585

Los Angeles County CDC
2 Coral Circle
Monterey Park, CA 91755-7432
ehernand@lacdc.org

ANTELOPE VALLEY

(661) 267-5125
Fax 267-5155

Economic Development
950 East Palmdale Blvd., Ste. C
Palmdale, CA 93550
crogers@avez.org

(661) 723-6034
Fax 723-6210

City of Lancaster
44933 Fern Avenue
Lancaster, CA 93534
colra@qnet.com

BAKERSFIELD/KERN

Kern County

(661) 862-5029
Fax 862-5052

Community Development Dept.
2700 M Street, #250
Bakersfield, CA 93301-2346
paul@co.kern.ca.us

| <u>COMMUNITY</u> | <u>PHONE</u> | <u>ADDRESS</u> |
|---|--------------------------------------|--|
| City of Bakersfield | (661) 326-3765 Fax 861-8326 | Econ. and Community Dev. Dept. 515 Truxtun Avenue Bakersfield, CA 93301 dlyman@ci.bakersfield.ca.us |
| CITY OF CALEXICO | (760) 768-2177 Fax 357-5864 | 608 Heber Avenue Calexico, CA 92231 |
| COACHELLA VALLEY | (760) 391-5176 Fax 391-5178 | Coachella Valley Enterprise Zone Authority P. O. Box 3063 Indio, CA 92202 cveza@gte.net |
| City of Indio | (760) 342-6500 x593 | City of Indio P. O. Drawer 1788 Indio, CA 92202 |
| City of Coachella | (760) 398-3102 | City of Coachella 1515 6 th Street Coachella, CA 92236 |
| DELANO | (661) 721-3340 x 218 Fax 721-2135 | City of Delano 1015 11th Avenue Delano, CA 93215 mgaston@ci.delano.ca.us |
| EUREKA | (707) 441-4216 Fax 441-4138 | City of Eureka 531 K Street Eureka, CA 95501-1165 trobitz@eurekaweb.com |
| | (707) 445-7745 Fax 445-7299 | County of Humboldt 825 5 th Street, Room 111 Eureka, CA 95501 |
| FRESNO | (559) 498-4591 Fax 488-1015 | City of Fresno, City Hall 2600 Fresno Street Fresno, CA 93721 rodw@fresno.gov |
| KINGS COUNTY | (559) 582-4326 | Crown Economic Development Corp. 1222 West lacey Blvd., Ste. 101 Hanford, CA 93230-5901 veallen@cnetch.com |
| LINDSAY | (559) 562-7117 Fax 562-7139 | Lindsay Community Dev. 251 E. Honolulu Street P. O. Box 369 Lindsay, CA 93247 comdev@lindsay.ca.us |
| LONG BEACH | (562) 570-3821 Fax 570-3897 | City of Long Beach 200 Pine Avenue, 4 th Floor Long Beach, CA 90802 suhusto@ci.long-beach.ca.us |
| LOS ANGELES, HARBOR AREA AND LOS ANGELES, NORTHEAST VALLEY | (213) 485-2956 Fax 237-0551 | City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014 icd@loop.com |

| <u>COMMUNITY</u> | <u>PHONE</u> | <u>ADDRESS</u> |
|---|-------------------------------------|---|
| LOS ANGELES, EASTSIDE AND LOS ANGELES, CENTRAL CITY | (213) 485-4767 Fax 237-0551 | City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014 |
| LOS ANGELES, MID-ALAMEDA CORRIDOR County of Los Angeles | (323) 890-7200 Fax 890-8585 | Community Development Commission #2 Coral Circle Monterey Park, CA 91755 |
| City of Los Angeles | (213) 485-2956 Fax 237-0551 | City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles CA, 90014 |
| Huntington Park | (323) 584-6270 Fax 588-4577 | Community Redevelopment Agency 6550 Miles Avenue, Room 134 Huntington Park, CA 90255 |
| Lynwood | (310) 603-0220-X253 Fax 639-6957 | Community Development Department 11330 Bullis Road Lynwood, CA 90262 |
| South Gate | (323) 563-9562 Fax 567-0725 | Community Development Dept. 8650 California Avenue City of South Gate, CA 93637 omujica@netscape.net |
| MADERA | (559) 675-7768 Fax 675-3252 | Madera County Industrial Dev. Corp. 425 North Gateway Drive, Ste. M Madera, CA 93637 maderaindustry@sierratel.com |
| MERCED/ATWATER | | |
| Merced County | (209) 385-7686 Fax 383-4959 | Merced County Dept. of Business Economic Opportunity 3180 Collins Dr., Ste. A Merced, CA 95348 ABO2@co.merced.ca.us |
| City of Atwater | (209) 357-6340 Fax 357-6363 | City of Atwater, Redevelopment Agency 750 Bellevue Road Atwater, CA 95301 smcbride@data.co.merced.ca.us |
| City of Merced | (209) 385-4788 Fax 723-1780 | City of Merced 678 West 18th Street Merced, CA 95340 quintero@ci.merced.ca.us |
| OAKLAND | (510) 238-7794 Fax 238-2230 | Business Employment and Training Program 250 Frank H. Ogwa Plaza, Ste. 3315 Oakland, CA 94612 svillarreal@oaklandnet.com |
| OROVILLE | (530) 538-2433 Fax 538-2426 | City of Oroville 1735 Montgomery Street Oroville, CA 95965 oroplanr@cncnet.com |

| <u>COMMUNITY</u> | <u>PHONE</u> | <u>ADDRESS</u> |
|---|---|--|
| PITTSBURG | (925) 439-4880 Fax 473-0938 | City of Pittsburg 415 Railroad Avenue Pittsburg, CA 94565 mosley_b@yahoo.com |
| PORTERVILLE | (559) 782-7466 Fax 781-6437 | City of Porterville 291 N. Main Street Porterville, CA 93257 vmaples@ci.porterville.ca.us |
| RICHMOND | (510) 307-8140 Fax 307-8149 | City of Richmond Redevelopment Agency 330 25 th Street Richmond, CA 94804 uriyu@ix.netcom.com |
| SACRAMENTO - NORTHGATE, FLORIN/PERKINS, ARMY DEPOT | (916) 440-1399, Ext. 1411 Fax 442-6736 | Sacramento Housing and Redevelopment Agency 630 I Street Sacramento, CA 95814-1834 esilverman@shra.org |
| SAN DIEGO-SAN YSIDRO/OTAY MESA SE BARRIO LOGAN | (619) 424-0231 Fax 424-0235 | 663 E. San Ysidro Blvd. San Diego, CA 92173 LVM@sdcity.sannet.gov |
| (San Diego Continued) | (619) 236-6821 Fax 236-6512 | 202 C Street MS 3A San Diego, CA 92101 |
| SAN FRANCISCO | (415) 861-4002 Fax 431-8702 | Private Industry Council 1650 Mission, Ste. 300 San Francisco, CA 94103-2490 bonnie@sftaxcredits.com |
| SAN JOSE | (408) 277-3616 Fax 277-3615 | Office of Economic Development 50 W. San Fernando, Suite 900 San Jose, CA 95113 nanci.klein@ci.sj.ca.us |
| SANTA ANA | (714) 647-6585 Fax 647-6549 | City of Santa Ana P.O. Box 1988 M-25 Santa Ana, CA 92701 sgottlieb@ci.santa-ana.ca.us |
| SHAFTER | (661) 746-6365 Fax 746-0607 | City of Shafter 336 Pacific Avenue Shafter, CA 93263 scummins@shafter.com |
| SHASTA METRO (Redding/Anderson) | (530) 225-5300 Fax 225-5303 | Shasta County EDC 737 Auditorium Dr., Suite D Redding, CA 96001 gail@shastaedc.org |
| SHASTA VALLEY (Siskiyou County) | (530) 842-1638 Fax 842-2685 | Siskiyou County 1512 S. Oregon Yreka, CA 96097 scedc@snowcrest.net |
| STOCKTON | (209) 937-8530 Fax 937-8904 | City of Stockton 425 N. El Dorado Street Stockton, CA 95202-1997 cmecdev@ci.stockton.ca.us |

| <u>COMMUNITY</u> | <u>PHONE</u> | <u>ADDRESS</u> |
|------------------|--------------------------------|---|
| WATSONVILLE | (831) 728-6152 Fax 763-4114 | Housing and Econ. Dev. P.O. Box 50000 Watsonville, CA 95077-5000 jwels@ci.watsonville.ca.us |
| WEST SACRAMENTO | (916) 373-5860 Fax 372-5329 | Parks and Community Services 1951 S. River Road West Sacramento, CA 95691 barbara.moore@ci.west.sacramento.ca.us |
| YUBA/SUTTER | (530) 741-6463 Fax 742-7835 | 1364 Sky Harbor Drive Marysville, CA 95901 mhansen@syix.com |

F. PROJECT NARRATIVE

The project narrative is the main body of information which describes the applicant, the need for funding, and the plan to address a community problem/issue through appropriate and achievable objectives and activities. The project narrative should demonstrate the problem to be addressed, the plan to address that problem, and the ability of the project to implement that plan with the funds identified in the budget. Instructions for preparing the project narrative are contained in the Programmatic Instructions.

G. PROJECT BUDGET

This section provides standard requirements and instructions for preparing the budget. Refer to the Programmatic Instructions for additional instructions or requirements specific to the program.

The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include only those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since all approved line items are subject to audit, applicants should not include in the project budget any matching funds in excess of the required match. All budgets are subject to OCJP modifications and approval.

OCJP requires the applicant to develop a line item budget which will enable them to meet the requirements of the grant, ensure the successful implementation of the project, and be cost-effective. Applicants are thus instructed to prepare a realistic and prudent budget which avoids unnecessary or unusual expenditures which would detract from the accomplishment of the objectives and activities of the program. The following information is provided to assist in the preparation of the budget. Strict adherence to all required and prohibited items is expected. **Where the applicant does not budget for a required item, the applicant assumes responsibility.** Failure of the applicant to include required items in the budget does not exclude responsibility to comply with those requirements during the implementation of the project.

1. Budget Narrative

All applicants are required to submit a budget narrative as part of the proposal budget. The budget narrative should be typed and placed in the proposal in front of the budget pages. In the budget narrative:

- Describe how the project's proposed budget supports the stated objectives and activities in the project.
- Discuss how funds are allocated to minimize administrative costs and support direct services.
- Describe the duties of project-funded staff, including any qualifications or education level necessary to the job assignment.
- Discuss how project-funded staff duties and time commitments support the proposed objectives and activities.
- Discuss any proposed staff commitment/percentage of time to other efforts, in addition to this project.
- Discuss the necessity of any subcontracts and any unusual expenditures.
- Discuss any mid-year salary range adjustments.

2. Budget Policy

- Supplanting Prohibited:** Grant funds must be used to supplement existing funds for program activities and not replace those funds which have been appropriated for the same purpose. If selected for funding, a written certification must be provided to OCJP that the grant funds will not be used to supplant state or local funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit.
- Project Income:** Project income, such as client fees and fees for services provided by the grantee (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the Programmatic Instructions. Project income cannot be used as matching funds, unless otherwise specified in the Programmatic Instructions.
- Sole/Single Source Requests:** A competitive bid process is required to purchase any equipment or consultant services with grant funds. Sole/single source approval is required prior to the purchase of equipment in excess of \$2,500 without using a competitive bid process, or to hire a specific consultant charging over \$2,500 without using a competitive bid process. Local units of government may use their approved procurement policy. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from

different vendors. Although not recommended, whenever a specific individual/organization name is identified in the project budget, a sole/single source request will be required. OCJP will provide assistance in submitting a sole/single source request if the proposal is selected for funding and if OCJP determines that it is in the best interest of the project.

- d. Training:** Budget for all anticipated training related to the project. All applicants must budget for a minimum of one OCJP-sponsored training session during the grant year. Applicants must also include sufficient per diem and travel allocations for persons to attend all required OCJP training conferences or workshops listed under the Programmatic Instructions. If several staff will be attending the same event, budget for the total number of people. A minimum of two project staff from each participating agency must attend each training conference. Applicants should budget a minimum of \$200 for registration fees for each person, plus the state per diem rate.
- e. Internet Access:** OCJP will be increasing its use of the Internet as a means of communication. Projects selected for funding will be required to gain and maintain Internet access with an established E-mail address throughout the grant period. Projects are allowed to budget for this purpose, unless specifically prohibited by the programmatic instructions.
- f. Match Policies:** The following information is provided to clarify match policies and to assist the applicant in the calculation of the match.

The specific Programmatic Instructions may specify a cash or in-kind match. The match must be from source other than state or federal funds that are budgeted for the project. When used to augment the project, expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. All of the match specified in the budget will become part of the grant award. Specific instructions for calculating the match are provided below.

- 1) State Funds Matching State or Federal Funds:** State and/or federal funds can be used to match other state and/or federal funds only if all of the following conditions have been met:
 - a) The other funding source does not prohibit this practice;
 - b) The funds are to be used for identical activities (e.g., to augment the project); and
 - c) The project has obtained prior written approval from OCJP, or specific Programmatic Instructions allow this practice.

2) Type of Match

- **Cash Match**

Cash match, also known as hard match, is revenue from a source other than state or federal funds that is budgeted for the project. Cash match is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations, or profits from fund-raising events.

When used to augment the project, cash expenditures for items such as personnel, facilities, and supplies may be considered cash match if not in violation of the prohibition on supplanting.

- **In-Kind Match**

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's noncash outlay, including the noncash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value.

3) Calculating Match: There are two possible methods of calculating a match. If a match is required, the method of calculation is specified in the Programmatic Instructions. Generally, match requirements are based on a percentage of the funds allocated or on a percentage of the total project costs. The following information is provided to assist the applicant in calculating the required match:

a) Percent of Allocation: With this method, the actual amount of the match is based on the funds allocated. Use the amount of grant funds requested as the allocation in calculating the match. Multiply the allocation requested by the percentage match required. **For example:** If a 10 percent match is required and the allocation requested is \$100,000; multiply the \$100,000 by .10 = \$10,000 match required.

10 PERCENT MATCH BASED ON PERCENT OF ALLOCATION

| | | |
|---------------------------|---|----------------------------|
| Grant Amount | = | \$100,000 |
| Percent of Cash Match | = | 10% |
| Multiply \$100,000 by .10 | = | \$10,000 (amount of match) |

b) Total Project Cost: With this method, the actual amount of the match is based on the total project cost. If the total project cost is known and is within the funding limits, simply multiply that amount by the percentage of match to obtain the match amount. If the total project cost is not known, calculate the match based on the following procedures:

Deduct the percent match required from 100 percent to arrive at the figure by which the grant award amount will be divided. For example, if the match requirement is 10 percent of the total project cost, deduct 10 percent from 100 percent which equals 90 percent (.90) balance.

- To calculate the percent match, divide the grant award amount by the percent balance, then subtract the grant award amount to determine the local match. For example, to calculate a 10 percent match, divide the grant award amount by 90 percent which determines the total project cost, then subtract the grant award amount. The following example is provided to further assist in calculating the match based on total project cost.

10 PERCENT MATCH BASED ON TOTAL PROJECT COST

| | | |
|------------------------------|------|--------------------------------|
| Funds Awarded | = | \$100,000 |
| Funds Awarded ~ .90 | = | \$111,111 (total project cost) |
| | then | |
| Total Project Cost | | \$111,111 |
| Minus Grant Award Amount | | <u>-100,000</u> |
| Total Project Match Required | | \$ 11,111 |

3. Specific Budget Categories

There is a separate form in the Proposal Forms section for each of the budget categories listed below. This section contains standard instructions for completing those forms. **Refer to the Programmatic Instructions for budget policy specific to the program when completing each section of the budget. Specific programmatic budget instructions supersede these general instructions.**

There are three budget categories in the proposal budget:

- Personal Services - Salaries/Employee Benefits
- Operating Expenses
- Equipment

Each budget category requires line item detail which addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. All charges must be clearly documented **and rounded off to the nearest whole dollar**. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. Personal Services - Salaries/Employee Benefits (OCJP A303a): A copy of this form is included in the Proposal Forms section.

- 1) Salaries:** Personal services include all services performed by staff who are directly employed by the applicant and must be identified by position and percentage of salaries. All other staff are to be shown as consultants in the Operating Expenses Category supported by a memorandum of understanding, contract, or operational agreement. Such documentation must be kept on file by the grantee and made available for review during an OCJP site or monitoring visit or audit. However, in the case of grants being passed through a grantee to be operated by another agency, the staff from the second agency will be shown in the Personal Services Category. In either case they may be salaried or hourly, full- or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If agency personnel have accrued

sick leave or vacation time prior to the approval of grant funding, they may not take that time off using project funds.

- 2) **Benefits:** Employee benefits must be identified by type and percentage of salaries. Applicants may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Other benefits, such as uniforms or California Bar Association dues, if negotiated as a part of the employee benefit package, are allowable budget items.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full- or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1-1/2 clerical positions).

3) Prohibited Expense Items:

Bonuses/Commissions: Projects are prohibited from paying any bonus or commission to any individual, organization, or firm.

- b. **Operating Expenses (OCJP A303b).** A copy of this form is included in the Proposal Forms section.

- 1) **Allowable Expenses:** Allowable operating expenses are defined as necessary expenditures exclusive of personnel salaries and benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award) and be incurred (realized) during the grant period.

The following items fall within this category: consultant services, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$1,000 per unit (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category.

2) Prohibited Expense Items:

- a) **Lobbying:** OCJP grant funds cannot be used for lobbying activities.

- b) **Fundraising:** OCJP grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

- c) **Real Property and Improvements:** Real property, including land, land improvements,

structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the Programmatic Instructions.

- d) **Interest:** The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.
- e) **Food and Beverages:** The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.
- f) **Weapons and Ammunition:** The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the Programmatic Instructions.
- g) **Membership Dues:** The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the Programmatic Instructions.
- h) **Professional License:** The cost of a professional license is not an allowable expenditure unless specifically authorized in the Programmatic Instructions.
- i) **Annual Professional Dues or Fees:** The cost of professional dues or fees is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized by the Programmatic Instructions.
- j) **Charges, Fees and Penalties:** Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.
- k) **Depreciation:** Depreciation charges are not allowable expenditures.

3) Travel:

a) Selection of Travel Policy

Applicants may prepare the budget using their own travel policies or the state travel policies according to the following guidelines. Travel reimbursements will only be allowed based on actual costs.

- **Units of Government:** Units of government may use their own written travel policy or the state policy.
- **Private Nonprofit Organizations:** A private nonprofit organization that submits a proposal to OCJP may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b) State Travel Policies

Use the following state travel policies for budgeting travel expenses:

- **Out-of-State Travel:** Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel will be reviewed if the applicant is selected for funding.
- **Mileage:** When a privately owned vehicle is utilized on project-related business, a maximum of 31 cents per mile is allowed, unless a higher rate is justified. This documentation must be on file and available for audit, but should not be submitted with the proposal.
- **Meals and Incidentals:**

Breakfast \$6.00: Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 9:00 a.m.

Lunch \$10.00: Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

Dinner \$18.00: Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

Incidentals \$6.00: Incidentals may be claimed for trips of 24 hours or more.

Total: \$40.00

- **Lodging:** Statewide without a lodging receipt is \$24.99.

Statewide with a lodging receipt is the actual lodging expense up to \$84.00, plus applicable taxes.

- **Other:** Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt.

Parking in excess of \$6.00 must be supported by receipt.

- 4) **Consultant Services:** Consultant services are either provided on a contractual basis by individuals or organizations that are not employees of the applicant (see Personal Services-Salaries). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations that meet some or all of the following criteria:

- Produce a specific product or service;
- Work independently without direct supervision from the applicant;

- Work on specific projects;
 - Provide services for a limited number of hours or period of time; and/or
 - Have no agency management or oversight responsibilities that are directed toward the financial success or direction of the agency.
- a) **Rates:** The maximum rate for independent contractors is \$450 (excluding travel and subsistence costs) for an eight-hour day. An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. A request for compensation for over \$450 per day requires PRIOR APPROVAL and additional justification.
- **Independent Contractors Employed by State and Local Government:** Compensation for these independent contractors will be allowed when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.
- b) **Expert Witness Fees:** Prosecution or criminal defense projects which routinely utilize "expert witnesses" as independent contractors to conduct evaluations and provide expert testimony in the courtroom may budget for this expense. However, the grant may only be charged for costs above that which the county is required to cover. The maximum allowable rate for such witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed 10 percent of the project's total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:
- Qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert.
 - Specialized certification/licensure (e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW); Marriage, Family, and Child Counselor (MFCC); Medical Doctor (MD)).
 - Rate of pay per hour. Provide documentation of a survey of the availability of similar consultants, the current "going rate," and the proposed rate of pay. Indicate cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony).
 - Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation).
 - Indicate why this cost cannot be paid with county funds. Attach a written justification to OCJP A303b.

5) **Facility Rental:** Up to \$18 per square foot annually (\$1.50 per square foot per month) is

allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.

- **Rental Space for Training and Counseling Rooms**

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the rental charged is based on actual costs and not reimbursed by any other source.

- 6) **Rented or Leased Equipment:** If equipment is to be rented or leased, an explanation and cost analysis will be required if the proposal is selected for funding. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it and must be approved by OCJP prior to the execution of any rental or lease agreement.
- 7) **Indirect Costs/Administrative Overhead:** Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding 10 percent of personnel salaries (excluding benefits and overtime) or 5 percent of total direct project costs (excluding equipment) may be budgeted by applicants for indirect costs.
- 8) **Audits:** An audit is required for all OCJP recipients expending \$25,000 or more of OCJP grant awards. Applicants may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:
 - If the total amount of the grant is less than or equal to \$150,000, the applicant may budget up to \$1,500 for the financial audit costs; or
 - If the total amount of the grant is greater than \$150,000, the applicant may budget up to 1 percent of the total grant for financial audit costs.

c. Equipment (OCJP A303c). A copy of this form is included in the Proposal Forms section.

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laserjet printers should be one line item, not three).

- 1) **Allowable Expenses:** Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the applicant for equipment already purchased.

Rented or leased equipment must be budgeted as an operating expense.

Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the

project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by OCJP is required.

All equipment purchased in whole or in part with state or federal grant funds is the property of the state or the federal government. However, under certain conditions, equipment may be transferred to the grantee at the end of the grant period. Satisfactory compliance with the Grant Award Agreement will be reviewed in considering the transfer of equipment.

2) Computers

- a) **Nonprofit Organizations:** Applicants from nonprofit organizations may budget up to \$25,000 in computer equipment, software, and related costs. Completion of a Computer Purchase Face Sheet with attached justification will be required if the proposal is selected for funding. OCJP will evaluate the proposed purchase on the basis of grant-related need. OCJP must give approval prior to purchase.
- b) **Units of Government:** Applicants from units of government may budget for computer equipment, software, and related costs. Completion and submission of the requested information contained on a Computer Purchase Face Sheet with attached justification will be required if the proposal is selected for funding. OCJP will evaluate the proposed purchase on the basis of grant-related need. OCJP must give approval prior to purchase. If federal grant funds totaling in excess of \$50,000 are used for automated data processing purchases, prior federal approval is also required.
- c) **Computer Purchase Request and Justification:** Approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost-effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the project will be sent a computer purchase request form and instructions for preparing the justification.

- 3) **Automobiles:** Automobiles may be allowable budget items unless prohibited by the Programmatic Instructions. If a vehicle is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for a vehicle, including the size of service area and the need to provide direct service away from the office, and the reason why the agency will not allow personal vehicle usage during working hours. A cost analysis for vehicle purchase as compared to other options, including lease and personal vehicle use with mileage, must be conducted and kept on file for review by OCJP at a site visit and by the auditor during the required annual audit.

H. PROPOSAL APPENDIX

The proposal appendix provides OCJP with additional information from the applicant to support components of the proposal. One example is listed below. Please refer to the Programmatic Instructions for specific requirements.

- **Operational Agreements:** Operational agreements must have an original signature and demonstrate a

formal system of networking and coordination with other agencies and the project. Those submitted with the proposal must be effective for the proposed grant year. For the purpose of this RFP, the terms **operational agreement and memorandum of understanding** (MOU) are synonymous. A sample operational agreement is provided in the Standard Forms section of this RFP.